

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3011/2021/294
Dated: March 01, 2022

By Special Messenger

UCB Stock Brokerage Limited
(DSE TREC # 181)
(Former Name: UCB Capital Management Limited)
Bulus Center (17th Floor, West Side)
Plot # CWS(A)1, Road # 34
Gulshan Avenue, Gulshan, Dhaka-1212.

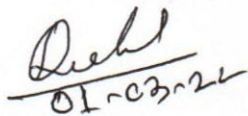
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3011/2021/230 dated February 06, 2022 based on which the hearing was conducted on February 24, 2022.

The Commission, considering your explanation vide letter dated 24.02.2022 has decided to dispose of the proceedings against UCB Stock Brokerage Limited by placing on record the Commission's dissatisfaction on the default/contravention made by you with a warning to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,


01-03-22

Rubel Hossain
Assistant Director (Enforcement)
E-mail: rubel@sec.gov.bd
Mobile : 01922-151361.

Copy for information:

1. PO to Executive Director (Surv.), BSEC.
2. PO to Executive Director (MIS), BSEC.
3. PS to Chairman, BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.